

BEST AVAILABLE COPY

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER: 09/479,637 FILING RECEIPT DATE: 12/30/99 FIRST NAMED APPLICANT: TRITT ATTORNEY/DOCKET NO./TITLE: R 10098/6

02/22/2014

2768

MATTHEW J. KELLY  
BRINKS HOFER GILSON & LIONE  
P O BOX 10395  
CHICAGO IL 60610

DATE MAILED:

02/14/00

**NOTICE TO FILE MISSING PARTS OF APPLICATION**

***Filing Date Granted***

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of  \$65.00 for a small entity in compliance with 37 CFR 1.27, or  \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

*If all required items on this form are filed within the period set above, the total amount owed by applicant as a*

small entity (statement filed)  non-small entity is \$ 130.

1. The statutory basic filing fee is:

missing

insufficient

Applicant must submit \$ \_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

2. The following additional claims fees are due:

\$ \_\_\_\_\_ for total claims over 20

\$ \_\_\_\_\_ for independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

3. The oath or declaration:

is missing or unsigned.

does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

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7. Your filing receipt was mailed in error because your check was returned without payment.

130

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8. The application was filed in a language other than English.

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Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

9. OTHER:

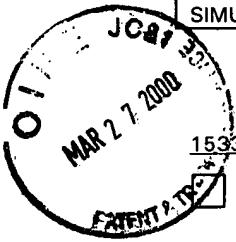
130

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Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

TRANSMITTAL LETTER			Case No. 10098/6
Serial No. 09/475,637	Filing Date December 30, 1999	Examiner Unassigned	Group Art Unit 2768
Inventor(s) Tritt et al.			
Title of Invention SIMULTANEOUS REAL-TIME ACCESS TO FINANCIAL INFORMATION			



§/Sector

TO THE ASSISTANT COMMISSIONER FOR PATENTS

Transmitted herewith is Response to Notice to File Missing Parts of Application Filing Date Granted; Form PTO-1533; Declaration; Power of Attorney; Assignment; Assignment Recordal; Checks for \$820 and \$40; Postcard Receipt.

Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.

A verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.

Petition for a \_\_\_\_\_ month extension of time.

No additional fee is required.

The fee has been calculated as shown below:

	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra
Total		Minus		
Indep.		Minus		
First Presentation of Multiple Dep. Claim				

Small Entity		Other Than Small Entity	
Rate	Add'l Fee	Rate	Add'l Fee
x \$9 =		x \$18 =	
x 39 =		x \$78 =	
+ \$130 =		+ \$260 =	
Total add'l fee	\$	total add'l fee	\$

Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$ \_\_\_\_\_. A duplicate copy of this sheet is enclosed.

Checks in the amount of \$820 and \$40 to cover the filing fees are enclosed.

The Assistant Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

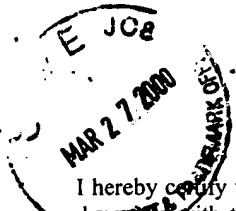
  
 Matthew J. Kelly  
 Registration No. 42,716  
 Attorney for Applicant

BRINKS HOFER GILSON & LIONE  
 P.O. BOX 10395  
 CHICAGO, ILLINOIS 60610  
 (312) 321-4200

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on March 22, 2000.

Date: 3-22-00

Signature: 



I hereby certify that this correspondence is being  
deposited with the United States Postal Service,  
with sufficient postage, as first class mail in an  
envelope addressed to:

Assistant Commissioner for Patents

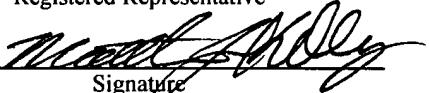
Washington, D.C. 20231

on March 22, 2000

\_\_\_\_\_  
Date of Deposit

Matthew J. Kelly, Reg. No. 42,716

\_\_\_\_\_  
Name of applicant, assignee or  
Registered Representative

  
Signature

\_\_\_\_\_  
3-22-00

Date of Signature

Case No. 10098/6

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Tritt et al.

Serial No.: 09/475,637

Attention: Manager,  
Application Branch

Filed: December 30, 1999

For: SIMULTANEOUS REAL-  
TIME ACCESS TO  
FINANCIAL  
INFORMATION

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION  
FILING DATE GRANTED**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In accordance with the Notice to File Missing Parts of Application Filing Date Granted dated February 14, 2000, a copy of which is attached, enclosed herewith for filing are the following documents:

Fully executed Declaration for Patent Application and Power of Attorney for the above-referenced patent application.

Applicant is:

a small entity, verified statement is:

attached

already filed

other than small entity

Checks totaling \$820 for:

Filing Fee of \$690.

Surcharge of \$130.

Additional Claim Fees of \$ \_\_\_\_.

Petition for Extension of Time (37 C.F.R. § 1.136(a)) to file missing parts (in duplicate).

Other: \_\_\_\_.

The Assistant Commissioner is hereby authorized to charge any deficiencies in fees or credit overpayment to Deposit Account No. 23-1925. A duplicate copy of this paper is enclosed.

Respectfully submitted,

Dated: March 22, 2000



\_\_\_\_\_  
Matthew J. Kelly  
Registration No. 42,716  
Attorney for Applicant(s)

BRINKS HOFER GILSON & LIONE  
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rev. Dec.-99  
Document4